



Atty. Docket No. URE02 P-309  
Express Mail No. EL415928512US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Thomas M. Kurth et al.

For : TRANSESTERIFIED POLYOL HAVING SELECTABLE AND  
INCREASED FUNCTIONALITY AND URETHANE MATERIAL  
PRODUCTS USING THE POLYOL

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(b)

Pursuant to 37 CFR §§1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached Form PTO-1449. This Information Disclosure Statement is being filed within three months of the filing date of the above-referenced application.

Copies of the listed documents are submitted herewith along with Form PTO-1449. Applicants respectfully request that the Examiner consider the listed documents and evidence that consideration by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If it should be determined that any of the listed documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be


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applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the  
fee to our Deposit Account No. 16-2463.

Respectfully submitted,  
THOMAS M. KURTH ET AL.  
By: Price, Heneveld, Cooper,  
DeWitt & Litton

August 31, 2001  
Date

  
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPRO- PRIATE
	6 1 7 4 5 0 1	01/16/01	Noureddini			
	6 1 0 7 4 3 3	08/22/00	Petrovic et al.			
	6 0 8 0 8 5 3	06/27/00	Corrigan et al.			
	6 0 1 5 4 4 0	01/18/00	Noureddini			
	5 9 4 5 5 2 9	08/31/99	Corrigan et al.			
	5 9 2 2 7 7 9	07/13/99	Hickey			
	5 9 0 8 7 0 1	06/01/99	Jennings et al.			
	5 9 0 0 4 9 6	05/04/99	Hou			
	5 8 6 9 5 4 6	02/09/99	Gruss et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLA-TION
						Y N
	7 0 4 5 3 2	03/12/97	Australia			X
	9 7 0 7 1 5 0	02/27/97	PCT			Abstract
	9 8 0 7 7 7 7	02/26/98	PCT			Abstract

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Modern Plastics Encyclopedia, Vol. 45: No. 14A, pp 100-01, 113, 352, 354, 356, 358-360, October 1968.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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	5 8 1 1 1 2 9	09/22/98	Friedman et al.			
	5 7 9 5 9 4 9	08/18/98	Daute et al.			
	5 7 6 7 2 5 7	06/16/98	Schafermeyer et al.			
	5 7 6 6 7 0 4	06/16/98	Allen et al.			
	5 7 5 6 1 9 5	05/26/98	Allen et al.			
	5 7 1 0 1 9 0	01/20/98	Jane et al.			
	5 6 9 8 7 2 2	12/16/97	Cusumano et al.			
	5 6 8 1 9 4 8	10/28/97	Miller et al.			
	5 6 4 8 4 8 3	07/15/97	Granberg et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLA- TION
						Y N
	0 0 2 3 4 9 1	04/27/00	PCT			X

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Handbook of Chemistry and Physics, 1973-1974, Robert C. Weast, Ph.D.
	Encyclopedia of Food Technology, Vol. 2, 1974, p. 818-828, Arnold H. Johnson, Ph.D. and Martin S. Peterson, Ph.D.

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		5	6	2	9	4	3	4	05/13/97	Cusumano et al.			
		5	6	2	7	2	2	1	05/06/97	Schumacher et al.			
		5	5	7	6	0	2	7	11/19/96	Friedman et al.			
		5	5	7	1	9	3	5	11/05/96	Sekula et al.			
		5	5	0	4	2	0	2	04/02/96	Hutchison			
		5	4	9	6	8	6	9	03/05/96	Williams et al.			
		5	4	9	1	2	2	6	02/13/96	Kenneally			
		5	4	9	1	1	7	4	02/13/96	Grier et al.			
		5	4	8	2	9	8	0	01/09/96	Pcolinsky			
		5	4	4	7	9	6	3	09/05/95	Pcolinsky et al.			

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													Y	N

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL		
		Soybeans: Chemistry and Technology, Vol. 1, Allan K. Smith, Ph.D. and Sidney J. Circle, Ph.D.
		Rigid Plastics Foams, 2nd Edition, T.H. Ferrigno.

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	5 4 4 0 0 2 7	08/08/95	Hasenhuettl			
	5 3 9 7 8 1 0	03/14/95	Ozaki et al.			
	5 3 2 4 8 4 6	06/28/94	Hirshman et al.			
	5 2 7 4 1 4 5	12/28/93	Gubelmann			
	5 2 3 1 1 9 9	07/27/93	Willemse			
	5 2 2 5 0 4 9	07/06/93	Barmentlo et al.			
	5 1 9 4 2 8 1	03/16/93	Johnston et al.			
	5 1 2 6 4 9 4	06/30/92	Gilheany et al.			
	5 1 0 6 9 6 7	04/21/92	Mazur			
	5 1 0 6 8 8 4	04/21/92	Turner et al.			

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Handbook of Soy Oil Processing and Utilization, entitled "Composition of Soybean Oil," Chap. 2, E. H. Pryde, pp 13-19.

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	5 1 0 6 8 7 4	04/21/92	Porter et al.			
	5 1 0 4 9 1 0	04/14/92	Turner et al.			
	5 1 0 4 6 9 3	04/14/92	Jenkines			
	5 0 7 1 9 7 5	12/10/91	Ver Der Plank et al.			
	5 0 4 3 4 3 8	08/27/91	Buter			
	5 0 3 2 6 2 2	07/16/91	Herrington et al.			
	5 0 2 1 2 5 6	06/04/91	Guffey et al.			
	5 0 1 0 1 1 7	04/23/91	Herrington et al.			
	4 9 8 0 3 8 8	12/25/90	Herrington et al.			
	4 9 7 3 6 8 1	11/27/90	Watanabe			

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						Y	N

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL		
		"Structure and Properties of Polyurethanes Based on Halogenated and Nonhalogenated Soy-Polyols," Zoran S. Petrovic, Andewa Guo, and Wei Zhang, Journal of Polymer Science: Part A: Polymer Chemistry, Vol 38, 4062-4069, (2000).

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	4 9 6 8 7 9 1	11/06/90	Van Der Plank			
	4 9 5 2 6 8 7	08/28/90	Bodor et al.			
	4 9 4 3 6 2 6	07/24/90	McGrath et al.			
	4 9 4 2 2 7 8	07/17/90	Sheinberg et al.			
	4 9 3 1 5 5 2	06/05/90	Gibson et al.			
	4 9 1 3 9 5 8	04/03/90	Skaggs et al.			
	4 8 6 1 8 0 3	08/29/89	Turner			
	4 8 5 3 2 8 0	08/01/89	Poteet			
	4 8 5 3 0 5 4	08/01/89	Turner et al.			
	4 8 4 3 1 3 8	06/27/89	Tazewell et al.			
	4 8 2 5 0 0 4	04/25/89	Rutzen et al.			
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EXAMINER INITIAL	
	"Rigid Polyurethane Foams Based on Soybean Oil," Andrew Guo, Ivan Javni, and Zoran Petrovic, Journal of Applied Polymer Science, Vol. 77, pp 467-473, (2000).

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	4 7 9 8 8 4 9	01/17/89	Thomas et al.			
	4 7 4 5 1 3 7	05/17/88	Thomas et al.			
	4 7 4 5 1 3 6	05/17/88	Thomas et al.			
	4 7 4 5 1 3 5	05/17/88	Thomas et al.			
	4 7 4 0 3 6 7	04/26/88	Force et al.			
	4 7 3 4 4 5 5	03/29/88	Mobley et al.			
	4 7 0 1 4 7 5	10/20/87	Turner			
	4 6 9 6 8 4 9	09/29/87	Mobley et al.			
	4 6 8 7 7 8 8	08/18/87	Hillshafer et al.			
	4 6 8 6 2 4 2	08/11/87	Turner et al.			
	4 6 5 7 7 9 0	04/14/87	Wing et al.			

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EXAMINER INITIAL	
	"Effect of Structure on Properties of Soy-Based Polyols and Polyurethanes," Zoran S. Petrovic, Andrew Guo, Ivan Javni, and Wei Zhang.

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		4 6 4 2 3 2 0	02/10/87	Turner et al.			
		4 6 1 1 0 4 4	09/09/86	Meyer et al.			
		4 5 9 5 4 3 6	06/17/86	Walker et al.			
		4 5 8 5 8 0 4	04/29/86	Lancaster et al.			
		4 5 3 0 9 4 1	07/23/85	Turner et al.			
		4 5 1 8 7 7 2	05/21/85	Volpenhein			
		4 5 1 5 6 4 6	05/07/85	Walker et al.			
		4 5 1 2 8 3 1	04/23/85	Tillotson			
		4 4 9 6 7 7 9	01/29/85	Myers et al.			
		4 4 9 6 7 7 8	01/29/85	Myers et al.			

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							Y N

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL		
		"Chemoenzymatic Synthesis of Urethane Oil Based on Special Functional Group Oil," M. D. Bhabhe, and V. D. Athawale, Journal of Applied Polymer Science, Vol. 69, 1451-1458, (1998).

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		4 4 9 6 5 4 7	01/29/85	Kawashima et al.			
		4 4 8 3 8 9 4	11/20/84	Porter et al.			
		4 4 0 5 3 9 3	09/20/83	Tillotson			
		4 3 9 3 2 5 3	07/12/83	Michaelson et al.			
		4 3 9 0 7 3 9	06/28/83	Michaelson et al.			
		4 3 7 6 1 7 1	03/08/83	Blount			
		4 3 7 5 5 2 1	03/01/83	Arnold			
		4 3 5 4 8 1 0	10/19/82	Stidham			
		4 3 3 4 0 6 1	06/08/82	Bossier, III			
		4 3 1 4 0 8 8	02/02/82	Austin et al.			

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							Y	N

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	4 2 9 6 1 5 9	10/20/81	Jenkinnes et al.			
	4 2 8 6 0 0 3	08/25/81	Higgins et al.			
	4 2 7 8 4 8 2	07/14/81	Poteet et al.			
	4 2 4 6 3 6 3	01/20/81	Turner et al.			
	4 1 8 5 1 4 6	01/22/80	Burke			
	4 1 7 1 3 9 5	10/16/79	Tillotson			
	4 1 1 6 9 8 7	09/26/78	Deno			
	4 0 7 6 6 7 9	02/28/78	Turner			
	4 0 4 5 4 9 8	08/30/77	Deno			
	4 0 2 2 9 4 1	05/10/77	Prokai et al.			

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	4 0 0 5 0 3 5	01/25/77	Deaver			
	3 9 9 1 1 2 6	11/09/76	Bacskai			
	3 9 8 5 8 1 4	10/12/76	Dougherty			
	3 9 6 3 6 9 9	06/15/76	Rizzi et al.			
	3 8 6 2 8 7 9	01/28/75	Barron et al.			
	3 8 4 6 4 7 8	11/05/74	Cummins			
	3 8 2 1 1 3 0	06/28/74	Barron et al.			
	3 7 7 8 2 0 5	12/11/73	Turner et al.			
	3 7 5 5 2 1 2	08/28/73	Dunlap et al.			
	3 6 3 9 3 1 2	02/01/72	Turner			

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	3 5 7 6 9 2 9	04/27/71	Turner et al.			
	3 5 3 5 1 5 6	10/20/70	Turner			
	3 3 9 6 4 7 3	08/13/68	Turner			
	3 0 0 1 9 5 8	09/26/61	Schwarzman			
	2 8 3 3 7 3 0	05/06/58	Barthel			
	2 7 8 7 6 0 1	04/02/57	Detrick et al.			
	2 6 0 6 8 9 0	08/12/52	Polly et al.			
	2 5 6 9 2 0 6	09/25/51	Vogel			
	2 1 6 7 2 6 6	07/25/39	Kimball			
	1 4 4 7 9 5 4	03/06/23	Webster			

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Assistant Commissioner for Patents  
Washington, D.C. 20231

August 31, 2001

Sir: Kindly acknowledge receipt of the accompanying Patent Cover Sheet, Authorization to Charge Deposit Account (in duplicate), Recordation Form Cover Sheet, Assignment, 60 Pages of Specification, 13 Pages of Claims (81 Claims), 1 Page of Abstract, Declaration and Power of Attorney (2 pages), Verified Statement Claiming Small Entity Status, Information Disclosure Statement, PTO Form 1449 (12 Pages), copies of cited references, and checks in the amount of \$1064 (Filing Fee) and \$40 (Assignment Fee) entitled TRANSESTERIFIED POLYOL HAVING SELECTABLE AND INCREASED FUNCTIONALITY AND URETHANE MATERIAL FORMED USING THE POLYOL for Applicants Thomas M. Kurth et al. being mailed by Express Mail using label No. EL415928512US by dating, signing, and returning this postcard.

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09/944212



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